



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Richard B. Streeter et al.

Serial No.:

10/772,782 02/05/2004

Filing Date: For:

INTRAVASCULAR FILTER WITH DEBRIS

**ENTRAPMENT MECHANISM** 

Group Art Unit No.:

3736

Attorney's Docket No.:

VIA-8 CON

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, PO BOX 1450, ALEXANDRIA, VA 22313-1450, ON:

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(DATE OF DEPOSIT)

Mail Stop Amendment Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

James A. Sheridan

(SIGNATURE)

November 10, 2004

(DATE OF SIGNATURE)

## INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR 1.56, 1.97 and 1.98, Applicants hereby submit documents and information which may be considered material to the examination of this application. These documents and information are listed on the accompanying forms.

Copies of documents 1-65 and 69-76, which are listed on the accompanying Form PTO/SB/08 (substitute for Form PTO-1449) (five pages), are enclosed herewith.

Copies of documents 66-68 which are also listed on the accompanying Form PTO/SB/08 (Substitute for Form PTO-1449) (five pages) were previously submitted to, or cited by the Office, in U.S. Patent Application Serial No. 09/896,258 filed 06/29/2001. Accordingly, copies of these documents do not accompany this submission.

Applicants respectfully request that these documents be fully considered by the U.S. Patent and Trademark Office during the examination of this application and printed on any patent which may issue on this application. Applicants also respectfully request that a copy of the Form PTO/SB/08A (substitute for Form PTO-1449) (five pages), submitted herewith, as considered and initialed by the Examiner, be returned to the undersigned with the next communication.

It is believed that this disclosure complies with the requirements of 37 CFR 1:56, 1.97 and 1.98. If for any reason the Examiner considers otherwise, it is respectfully requested that the undersigned be contacted by the Examiner by telephone in order that any deficiencies may be expeditiously remedied.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is believed to be required.

The enclosed documents may have markings thereon. Applicants are not presently aware of the source of those markings, and no significance is meant to be attached thereto.

Please charge any additional fees due in connection with this submission, or credit any overpayment, to Deposit Account No. 16-0221. A duplicate copy of this submission is enclosed for the convenience of the Examiner.

Thank you.

Respectfully submitted, Mana A. Shuidan 11/10/04

James A. Sheridan

Reg. No. 43,114

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Tel. (617) 290-0060

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PTO/SB/08A (10-96)
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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	5
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Complete if Known							
Application Number	10/772,782						
Filing Date	02/05/2004						
First Named Inventor	Richard B. Streeter et al.						
Group Art Unit	3736						
Examiner Name	unknown						
Attorney Docket Number	VIA-8 CON						

	U.S. PATENT DOCUMENTS									
Examiner Cite No.1		U.S. Patent Document  Number  Kind Cod  (if known	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear					
	1	5,941,896	Kerr	08-24-1999						
	2	5,947,995	Samuels	09-07-1999						
	3	5,954,741	Fox	09-21-1999						
	4	5,954,745	Gertler et al.	09-21-1999						
	5	5,957,949	Leonhardt et al.	09-28-1999						
	6	5,976,172	Homsma et al.	11-02-1999						
	7	5,980,555	Barbut et al.	11-09-1999						
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-	9	3,671,979	Moulopoulos	06-27-1972						
	10	3,996,938	Clark, III	12-14-1976						
	11	4,056,854	Boretos et al.	11-08-1977						
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	20	5,324,304	Rasmussen	06-28-1994						

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Examiner Cite Initials No.1		Office <sup>3</sup>	Foreign Patent Doc Number <sup>4</sup>	ument Kind Code <sup>5</sup> (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Te
	21		EP 040824	5	American Medical	01/16/1991	riquies Appeal	十一
	22		WO 99/3341	4	Veseley	07/08/1999		$\top$
	23		WO 99/1522	3	Cardeon Corp.	04/01/1999		1
	24		WO 00/4713	9	Heartport, Inc.	08/17/2000		1
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<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitut	e for form 1449A	/PTO		Complete if Known			
INIEC		NI DI	201 001175	Application Number	10/772,782		
			SCLOSURE	Filing Date	02/05/2004		
STA	TEMENT	BY A	PPLICANT	First Named Inventor	Richard B. Streeter et al.		
	,			Group Art Unit	3736		
(use as many sheets as necessary)				Examiner Name	unknown		
Sheet	2	of	5	Attorney Docket Number	VIA-8 CON		

	U.S. PATENT DOCUMENTS									
Examiner Initials	Cite No.1	U.S. Patent Docume  Kind Co (if know	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear					
	25	5,329,942	Gunther et al.	07-19-1994						
	26	5,370,685	Stevens	12-06-1994						
	27	5,397,351	Pavcnik et al.	03-14-1995						
	28	5,411,552	Andersen et al.	05-02-1995						
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	30	5,545,214	Stevens	08/13/1996						
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	32	5,554,185	Block et al.	09/10/1996						
	33	5,571,215	Sterman et al.	11/05/1996						
	34	5,584,879	Reimold et al.	12/17/1996						
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	44	5.855.597	Jayaraman	01/05/1999						

	FOREIGN PATENT DOCUMENTS										
Examiner	Cite	F	oreign Patent Do	cument	Name of Patentee or	Date of Publication of	Pages, Columns, Lines,	T			
Initials	No.1	Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear	T6			
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INIE		ı Die	CL OCUDE	Application Number	10/772,782		
			SCLOSURE	Filing Date	02/05/2004		
STATEMENT BY APPLICANT				First Named Inventor	Richard B. Streeter et al.		
			,	Group Art Unit	3736		
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Sheet	eet 3 of 5		Attorney Docket Number	VIA-8 CON			

			U.S. PATENT DOCL	JMENTS	
Examiner Initials	Cite No.1	U.S. Patent Document  Kind Code  (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	45	6,692,513	Streeter et al.	02-17-2004	
	46	5,876,367	Kaganov et al.	03-02-1999	
	47	5,893,869	Barnhart et al.	04-13-1999	
	48	5,718,725	Sterman et al.	02-17-1998	
	49	5,910,154	Tsugita et al.	06-08-1999	
	50	5,911,734	Tsugita et al.	06-15-1999	
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	58	6,309,399	Barbut et al.	10-30-2001	
	59	6,235,045	Barbut et al.	05-22-2001	
	60	6,334,869	Leonhardt et al.	01-01-2002	
	61	6,395,014	Macoviak et al.	05-28-2002	
	62	5,827,237	Macoviak et al.	10-27-1998	
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	64	6,375,670	Greenhalgh, E.Skott	04-23-2002	

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Examiner Initials*	0.11-	ı	Foreign Patent Docu	ment	Name of Patentee or	Date of Publication of	Pages, Columns, Lines,	T	
	Cite No. <sup>1</sup>	Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear	Te	
	65	WO	00/44313		Lambrecht et al.	08-03-2000		工	
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INIEC		N DI	COLOCUEE	Application Number	10/772,782		
			SCLOSURE	Filing Date	02/05/2004		
STATEMENT BY APPLICANT			APPLICANT	First Named Inventor	Richard B. Streeter et al.		
		Group Art Unit	3736				
	(use as many s	neets a	s necessary)	Examiner Name	unknown		
Sheet	4	of	, 5	Attomey Docket Number	VIA-8 CON		

			U.S. PATENT DOCL	JMENTS	
Examiner Initials	Cite No.1	U.S. Patent Document  Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	66	5,855,601	Bessler et al.	01-05-1999	
	67	5,769,816	Barbut et al.	06-23-1998	
	68	5,814,064	Daniel et al.	09-29-1998	
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	FOREIGN PATENT DOCUMENTS									
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Initials	No.1	Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear	T6		
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Substitu	ite for form 1449B/PTC	)		Complete if Known			
1815			1001 001105	Application Number	10/772,782		
INF	JRMAHON	1 L	ISCLOSURE	Filing Date	02/05/2004		
STA	TEMENT B	<b>3</b> Y	APPLICANT	First Named Inventor	Richard B. Streeter et al		
				Group Art Unit	3736		
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Sheet	5	of	5	Attorney Docket Number	VIA-8 CON		

		OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	69	Antonatos PG, et al., Effect of the positioning of a balloon valve in the aorta on coronary flow during aortic regurgitation, J Thorac Cardiovasc Surg; 1984 Jul; 88(1): 128-33	
	70	Antonatos PG, et al., Intraventricular Pumping At The Mitral Ring In Mitral Regurgitation; Life Support Syst; 1985; 3 Suppl 1:167-71	
	71	Antonatos PG, et al., The Use Of A Small Intra-Aortic Balloon To Increase Coronary Flow; Life Support Syst; 1983 Jul-Sep 1(3): 151-64	
	72	Frederiksen J, et al. Use Of A Counterpulsation Balloon As A Substitute For The Pulmonic Valve: A New Application; Ann Thorac Surg; 1986 Jun; 41(6): 616-21	
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	76	Cartwright RS, et al., Combined Replacement Of Aortic And Mitral Valves; J.A.M.A., April 7, 1962;86-90.	

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<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



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